

DETAILED ACTION

This application has been reviewed. The status of the claims are as follows: claims 91-124 and 130-136 were previously pending; claims 137-169 have been added; no additional claims were cancelled in the response sent on December 22, 2009; the Examiner has performed an Examiner's Amendment to cancel claims 99-124, 130-133, 137 and 145-169; the remainder of the claims have been allowed. Therefore, claims 91-98, 134-136 and 138-144 have been allowed. The Examiner's Amendment and reasons for allowance are as follows.

Examiner Initiated Interview

1. In an Examiner Initiated Interview, held on Wednesday, December 16, 2009, the Examiner discussed the claims of the application with the Applicant's representative, John Stellabotte. Mr. Stellabotte informed the Examiner, that he would confer with the inventor to determine whether or not to cancel claims 99-124, 130-133, 137 and 145-169 in order to proceed with the allowance of this application. In an additional conversation held with Mr. Stellabotte on Friday, December 18, 2009, Mr. Stellabotte authorized the Examiner to cancel claims 99-124, 130-133, 137 and 145-169 without prejudice in order to proceed with the allowance.

Additionally, it was noted that claim 144 had an incorrect claim identifier (Previously Presented). It should have read new. The Examiner's Amendment corrected this issue.

Examiner's Amendment

2. An examiner's amendment to the record appears below. Should the changes and/or additions be unacceptable to applicant, an amendment may be filed as provided by 37 CFR 1.312. To ensure consideration of such an amendment, it MUST be submitted no later than the payment of the issue fee.

Authorization for this examiner's amendment was given in a telephone interview with John Stellabotte on December 18, 2009.

The application has been amended as follows:

Claims 1-90 (Cancelled)

91. (Previously Amended): A computer readable medium containing a set of computer readable instructions that when executed cause a computing device of a user to: display a graphical user interface, the interface comprising:

a single-screen simultaneous display of non-overlapping screen components comprising: (a) a display of the user's current position in at least one financial instrument, (b) a display of an open order list of the user, (c) a display of one or more areas to enter trades, and (d) a display of offers to buy and offers to sell at least one financial instrument, wherein the display of offers to buy and sell at least one financial instrument comprises:

a first display area of sizes for a plurality of buy offers for a financial instrument selected by the user;

a second display area of sizes for a plurality of sell offers for the financial instrument selected by the user; and

a third display area showing a single list of price levels that correspond to prices for the buy offers in the first display area and the sell offers in the second display area; and

receive trade orders entered into the one or more areas to enter trades, wherein the set of computer readable instructions when executed supporting a connection between the computing device and at least one database, said connection enabling real-time updating of information presented in the screen components using one or more processors of the computing device, and displaying and updating the information presented in the-screen components.

92. (Previously Amended) The computer readable medium containing a set of computer readable instructions of Claim 91, wherein the third display area is located between the first display area and the second display area.

93. (Previously Amended) The computer readable medium containing a set of computer readable instructions of Claim 91, wherein the first display area and the third display area have markings to distinguish a current bid size from other sizes of buy offers in the

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first display area and to distinguish a current bid price from other price levels in the third display area.

94. (Previously Amended) The computer readable medium containing a set of computer readable instructions of Claim 93, wherein the markings are highlights.

95. (Previously Amended) The computer readable medium containing a set of computer readable instructions of Claim 91, wherein the second display area and the third display area have markings to distinguish a current ask size from other sizes of sell offers in the second display area and to distinguish a current ask price from other price levels in the third display area.

96. (Previously Amended) The computer readable medium containing a set of computer readable instructions of Claim 95, wherein the markings are highlights.

97. (Previously Amended) The computer readable medium containing a set of computer readable instructions of Claim 91, further comprising at least one additional display comprising three display areas of 1) sizes of buy offers, 2) sizes of sell offers, and 3) price levels corresponding to sizes of buy offers and sell offers corresponding to each additional financial instrument that the user selects for display in the graphical user interface.

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98. (Previously Amended) The computer readable medium containing a set of computer readable instructions of Claim 97, wherein each additional display of three display areas contains markings for each additional financial instrument selected by the user to distinguish a current ask size and a current bid size from other sizes of buy and sell offers displayed and to distinguish a current ask and a current bid price from other price levels displayed.

Claims 99-133 (Cancelled).

134. (Currently Amended) A computer implemented system for trading financial instruments comprising:

at least one computing device;

at least one server;

at least one database;

said at least one computing device containing a computer readable medium containing a set of computer readable instructions that when executed cause said at least one computing device to display a graphical user interface, the interface comprising:

a single-screen simultaneous display of non-overlapping screen components comprising:

(a) a display of the user's current position in at least one financial instrument,

(b) a display of an open order list of the user,

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(c) a display of one or more areas to enter trades, and

(d) a display of offers to buy and offers to sell at least one financial instrument,

wherein the display of offers to buy and sell at least one financial instrument comprises:

a first display area of sizes for a plurality of buy offers for a financial instrument selected by the user;

a second display area of sizes for a plurality of sell offers for the financial instrument; and

a third display area showing a single list of price levels that correspond to prices for the buy offers in the first display area and the sell offers in the second display area,

said at least one computing device receiving trade orders entered in the one or more

areas to enter trades and displaying and updating the information presented in the

screen components using the computer executable instructions, wherein

the computer readable instructions when executed support a connection between the at least one computing device and the at least one database, said connection enabling real-time updating of information presented in the screen components using processors of the at least one computing device.

135. (Currently Amended) A computer readable medium containing a set of computer readable instructions that when executed on a computing device [for] performs the steps of:

1) displaying on a single screen simultaneously plural, non-overlapping screen components comprising:

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- (a) a user's current position in at least one financial instrument,
- (b) an open order list of the user,
- (c) one or more areas to enter trades, and
- (d) offers to buy and offers to sell at least one financial instrument,

wherein said step of displaying (d) offers to buy and sell at least one financial instrument further comprises:

displaying in a first display area of sizes for a plurality of buy offers for a financial instrument selected by the user;

displaying in a second display area of sizes for a plurality of sell offers for the financial instrument selected by the user; and

displaying in a third display area showing a single list of price levels that correspond to prices for the buy offers in the first display area and the sell offers in the second display area;

2) receiving trade orders entered in the one or more areas for entering trades;
and

3) updating information presented in the screen components in real time using the instructions, processors of the at least one computing device, and at least one database, said instructions supporting a connection to said at least one database.

136. (Currently Amended) A computing device for trading financial instruments comprising:

at least one processor;

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and a monitor connected to said processor,
said processor and monitor being capable of cooperating to display
simultaneously on a single screen a plurality of non- overlapping screen components
comprising:

- (a) a user's current position in at least one financial instrument,
- (b) an open order list of the user,
- (c) one or more areas to enter trades, and
- (d) offers to buy and offers to sell at least one financial instrument,

wherein said monitor is capable of displaying said offers to buy and sell at least
one financial instrument by also:

displaying in a first display area of sizes for a plurality of buy offers for a financial
instrument selected by the user;

displaying in a second display area of sizes for a plurality of sell offers for the
financial instrument selected by the user; and

displaying in a third display area showing a single list of price levels that
correspond to prices for the buy offers in the first display area and the sell offers in the
second display area,

wherein the computing device is capable of receiving and processing trade
orders entered in the one or more areas to enter trades.

wherein information presented in the screen components is updated in real time
using instructions stored on the computing device, the processors, and at least one
database, said instructions supporting a connection to said at least one database.

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137. (Cancelled)

138. (Previously Presented) The computer implemented system of Claim 134, wherein the third display area is located between the first display area and the second display area.

139. (Previously Presented) The computer implemented system of Claim 134, wherein the first display area and the third display area have markings to distinguish a current bid size from other sizes of buy offers in the first display area and to distinguish a current bid price from other price levels in the third display area.

140. (Previously Presented) The computer implemented system of Claim 139, wherein the markings are highlights.

141. (Previously Presented) The computer implemented system of Claim 134, wherein the second display area and the third display area have markings to distinguish a current ask size from other sizes of sell offers in the second display area and to distinguish a current ask price from other price levels in the third display area.

142. (Previously Presented) The computer implemented system of Claim 141, wherein the markings are highlights.

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143. (Previously Presented) The computer implemented system of Claim 134, further comprising at least one additional display comprising three display areas of 1) sizes of buy offers, 2) sizes of sell offers, and 3) price levels corresponding to sizes of buy offers and sell offers corresponding to each additional financial instrument that the user selects for display in the graphical user interface.

144. (Previously Presented) The computer implemented system of Claim 143, wherein each additional display of three display areas contains markings for each additional financial instrument selected by the user to distinguish a current ask size and a current bid size from other sizes of buy and sell offers displayed and to distinguish a current ask and a current bid price from other price levels displayed.

Claims 145-169 (Cancelled)

Allowable Subject Matter

3. Claims 91-98, 134-136 and 138-144 are allowed.

Reasons for Allowance

4. The following is an examiner's statement of reasons for allowance: claims 91-98, 134-136 and 138-144 are allowable over the prior art because the closest prior art does

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not disclose all of the features of the claims. More specifically, the cited prior art does not disclose a graphical user interface, comprising:

a single-screen simultaneous display of non-overlapping screen components comprising: (a) a display of the user's current position in at least one financial instrument, (b) a display of an open order list of the user, (c) a display of one or more areas to enter trades, and (d) a display of offers to buy and offers to sell at least one financial instrument, wherein

the display of offers to buy and sell at least one financial instrument comprises:

a first display area of sizes for a plurality of buy offers for a financial instrument selected by the user; a second display area of sizes for a plurality of sell offers for the financial instrument selected by the user; and

a third display area showing a single list of price levels that correspond to prices for the buy offers in the first display area and the sell offers in the second display area; and

receive trade orders entered into the one or more areas to enter trades, wherein the set of computer readable instructions when executed supporting a connection between the computing device and at least one database, said connection enabling real-time updating of information presented in the screen components using one or more processors of the computing device, and displaying and updating the information presented in the-screen components.

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Summary of the closest prior art:

May (US Patent 6,421,653) also discloses a graphical user interface with several non-overlapping displays (see figure 23). May's display discloses the user's current position (see element 482), an open order list (see element 484), an area to enter trades (see element 490), and an area that displays offers to buy/sell (see element 490). However, May does not disclose the level of detail within the offers to buy/sell area that this application discloses. For example, there is no display of sizes (volume/quantity) of buy/sell offers or a single list of prices that correspond to buy/sell offers in the offer area of May.

May (US Patent 6,317,727), see figure 23, discloses similar information to May (US Patent 6,421,653) described above. And, May '727 also has similar deficiencies as the May '653 patent.

Minton (US Patent 6,014,643) does disclose a graphical user interface with several non-overlapping displays (see figure 4). However, Minton's non-overlapping displays do not include an area to enter trades. In fact, the area to enter trades is provided on a different screen display (see figure 6).

Ketchum et al. (US Patent 7,599,875) also discloses a graphical user interface with several non-overlapping displays (see figure 4). However, Ketchum does not disclose an area that shows buy and sell offers.

Buist et al. (US 6,408,282) also discloses a graphical user interface with several non-overlapping displays (see figure 5A). However, Buist does not have an earlier filing

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date. In fact, this application filed on the same day as Buist. Additionally, Buist has the same assignee. Finally, Buist does not show an area that displays current offers.

Any comments considered necessary by applicant must be submitted no later than the payment of the issue fee and, to avoid processing delays, should preferably accompany the issue fee. Such submissions should be clearly labeled "Comments on Statement of Reasons for Allowance."

Conclusion

Any inquiry concerning this communication or earlier communications from the examiner should be directed to MURIEL TINKLER whose telephone number is (571)272-7976. The examiner can normally be reached on Monday through Friday from 6:30 AM until 3 PM.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Alexander Kalinowski can be reached on (571)272-6771. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

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Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/M. T./
Examiner, Art Unit 3691

/Hani M. Kazimi/
Primary Examiner, Art Unit 3691